

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION REPORTS

Last Name	First Name and Middle Initial	Annual Report Calendar Year Covered by Report:	Senate Office / Agency in Which Employed
Harkin	Thomas R.	2009	United States Senate
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report Termination Date (mm/dd/yy):	Prior Office / Agency in Which Employed
Senate Hart #731 Washington, DC 20510	202-224-3254		

## AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, Complete and Attach PART I.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$335 from one source)? If Yes, Complete and Attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period? If Yes, Complete and Attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? If Yes, Complete and Attach PART VII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period, or receive unearned or investment income of more than \$200 in the reporting period? If Yes, Complete & Attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, Complete and Attach PART VIII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, Complete and Attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, Complete and Attach PART IX.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If Yes, Complete and Attach PART V.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	If this is your FIRST Report: Did you receive compensation of more than \$5,000 from a single source in the two prior years? If Yes, Complete and Attach PART X.	<input type="checkbox"/>	<input type="checkbox"/>

**Each question must be answered and the appropriate PART attached for each "YES" response.**

**File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 232, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. \$200 Penalty for filing more than 30 days after due date.**

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 4, 104, and 18 U.S.C. 1001.)

<b>Certification</b> I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Signature of Reporting Individual <div style="height: 40px; border: 1px solid black;"></div>	Date (Month, Day, Year) <div style="font-size: 24px; text-align: center;">5/16/10</div>
<b>For Official Use Only - Do Not Write Below This Line</b>		
It is the Opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act.	Signature of Reviewing Official <div style="height: 40px; border: 1px solid black;"></div>	Date (Month, Day, Year) <div style="height: 40px; border: 1px solid black;"></div>

**FOR OFFICIAL USE ONLY**  
 Do Not Write Below this Line

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**PART II. EARNED AND NON-INVESTMENT INCOME**

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

**Individuals not covered by the Honoraria Ban:**

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

Name of Income Source		Address (City, State)	Type of Income	Amount
Example:	JP Computers	Wash., DC	Salary	\$15,000
	MCI (Spouse)	Arlington, VA	Salary	Over \$1,000
1	ConocoPhillips (Spouse)	Houston, TX	Salary (includes	Over \$1,000
2			contractual right to	
3			receive stock in	
4			the future)	
5	United Technologies Corp. (Spouse)	Washington, D.C.	Salary and pension	Over \$1,000
6			(salary includes	
7			contractual right to	
8			purchase stock in	
9			the future)	
10	AbitibiBowater, Inc. (Spouse)	Montreal, Canada	Salary (includes	Over \$1,000
11			contractual right to	
12			receive stock in	
13			the future)	

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income																						
Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.		At the close of reporting period. If None, or less than \$1,001, Check the first column.										If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.																						
												Type of Income						Amount of Income																
												None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified		
Example:	S, DC, or J	IBM Corp. (stock)											X							Example	X													Example
	(S)	Keystone Fund															X			Example	X													Example
1	J	Amgen		X								X																						
2	J	BP PLC Spons ADR		X									X								X													
3	J	Berkshire Hathaway Inc. Class B		X								X																						
4	J	Cisco Sys, Inc.		X								X																						
5	J	Dell, Inc.		X								X																						
6	J	Genentech, Inc	X												X							X												
7	J	Home Depot, Inc.		X								X									X													
8	J	Intel, Inc.		X								X									X													
9	J	Johnson and Johnson			X							X										X												
10	J	Microsoft		X								X									X													

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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												Type of Income							Amount of Income						Actual Amount Required if "Other" Specified								
												None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000		\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	
Example:	S, IBM Corp. (stock) or J (S) Keystone Fund				X								X							Example	X												Example
					X											X				Example	X											Example	
1	J Pepsico, Inc.		X										X								X												
2	J Procter & Gamble		X									X																					
3	J Walt Disney		X										X								X												
4	J Citibank NA Bank Deposit Program		X												X						X												
5	J Western Asset Money Market Fund Class A		X										X								X												
6	J Citibank NA South Dakota Bank Deposit Program		X												X						X												
7	Citibank NA Bank Deposit Program (IRA)		X												X						X												
8	Fidelity Advisor Midcap Fund		X													X					X												
9	Fidelity Advisor Overseas Fund		X													X					X												
10	Principal Financial Group		X									X									X												

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
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Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

Example: S, IBM Corp. (stock)  
DC, or J (S) Keystone Fund

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
			X								
				X							

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

Type of Income									Amount of Income											Actual Amount Required if "Other" Specified
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	
	X							Example		X										Example
					X			Example	X											Example
	X			X												X				
X																				
	X														X					
	X										X									
	X								X											
			X						X											
					X						X									
					X							X								
X													X							
					X															

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

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## BLOCK B

## Valuation of Assets

At the close of reporting period.  
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## BLOCK C

## Type and Amount of Income

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		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income												
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Type of Income						Amount of Income				
		None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified		
Example:	S, IBM Corp. (stock)					X						X										Example		
	or J (S) Keystone Fund						X					X										Example		
1	S West Des Moines State Bank SEP					x						x												
2	S West Des Moines State Bank					x							x											
3	S LPL Cash, Insured Cash Account						x				x													
4	S Central Fund of Canada Ltd. CL A CEF			x							x													
5	S Ishares S&P N. American Nat. Res. Index				x						x													
6	S Ishares Dow Jones Select				x								x											
7	S Ishares Aggregate Bond Fund				x									x										
8	S Ishares Tr. S&P Sm. Cap 600 Value Index				x							x												
9	S Ishares S&P Sm. Cap 600 Growth Index				x							x												
10	S Ishares Trust Barclay's TIPS		x									x												

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income																						
		At the close of reporting period. If None, or less than \$1,001, Check the first column.										Type of Income						Amount of Income																
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
Example:	S, DC, or J	IBM Corp. (stock)																					Example											Example
	(S)	Keystone Fund																					Example	X										Example
1	S	Ishares Tr. Russell Midcap Value Index																																
2	S	Ishares Tr. Russell Midcap Growth Index																																
3	S	Ishares MSCI EAFE Index Fund																																
4	S	Ishares Tr. Russell 1000 Value Index																																
5	S	Ishares Tr. Russell 1000 Growth Index																																
6	S	Ishares Tr. Dow Jones US Energy Index																																
7	S	Ishares MSCI Emerging Markets Index																																
8	S	Ishares Tr. 1-3 Yr. Treas. Bond Fund																																
9	S	Ishares Tr. Cohen & Steers Realty																																
10	S	SPDR Series Tr. DJ Small Cap Growth																																

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identify of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.		None (or less than \$1,001)												None												Other (Specify Type)												Actual Amount Required if "Other" Specified																																																																																																																																															
		\$1,001 - \$15,000												Dividends												None (or less than \$201)												None																																																																																																																																															
		\$15,001 - \$50,000												Rent												\$201 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000																																			
		\$50,001 - \$100,000												Interest												\$1,001 - \$1,000												Capital Gains												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$100,001 - \$250,000												Excepted Investment Fund												\$1,001 - \$1,000												Excepted Trust												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$250,001 - \$500,000												Qualified Blind Trust												\$1,001 - \$1,000												Other (Specify Type)												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$500,001 - \$1,000,000												None												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		Over \$1,000,000***												Dividends												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$1,000,001 - \$5,000,000												Rent												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$5,000,001 - \$25,000,000												Interest												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$25,000,001 - \$50,000,000												Capital Gains												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		Over \$50,000,000												Excepted Investment Fund												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		None												Excepted Trust												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		Qualified Blind Trust												None												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		Other (Specify Type)												None												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		None (or less than \$201)												Dividends												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$201 - \$1,000												Rent												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$1,001 - \$2,500												Interest												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$2,501 - \$5,000												Capital Gains												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$5,001 - \$15,000												Excepted Investment Fund												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$15,001 - \$50,000												Excepted Trust												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$50,001 - \$100,000												Qualified Blind Trust												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$100,001 - \$1,000,000												None												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$1,000,001 - \$5,000,000												Dividends												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$5,000,001 - \$25,000,000												Rent												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$25,000,001 - \$50,000,000												Interest												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		Over \$50,000,000												Capital Gains												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		None												Excepted Investment Fund												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		Excepted Trust												None												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		Qualified Blind Trust												None												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		Other (Specify Type)												None												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		None (or less than \$201)												Dividends												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$201 - \$1,000												Rent												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$1,001 - \$2,500												Interest												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$2,501 - \$5,000												Capital Gains												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$5,001 - \$15,000												Excepted Investment Fund												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$15,001 - \$50,000												Excepted Trust												\$1,001 - \$1,000												None												\$1,001 - \$1,000												\$1,001 - \$2,500												\$2,501 - \$5,000												\$5,001 - \$15,000												\$15,001 - \$50,000												\$50,001 - \$100,000												\$100,001 - \$1,000,000												\$1,000,001 - \$5,000,000												\$5,000,001 - \$25,000,000												\$25,000,001 - \$50,000,000												Over \$50,000,000											
		\$50,001 - \$100,000												Qualified Blind Trust												\$1,001 - \$1,000												None												\$1,																																																																																																																																			

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.





## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income												
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Type of Income							Amount of Income			
		None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified		
Example:	S, DC, or J																							
	IBM Corp. (stock)						X															Example		
	(S) Keystone Fund						X															Example		
1	S Blackrock Funds Energy and Resources						X																	
2	S Buffalo Small Cap FD INC						X																	
3	S Capital Income Builder						X																	
4	S Capital World Growth and Income CL F						X																	
5	S Growth Fund America INC CL F						X																	
6	S Hancock John Cap Ser. Classic Value CL A						X																	
7	S Harbor Small Cap Value Fund						X																	
8	S Harbor Cap Appreciation Fund						X																	
9	S Harris Assoc Invt Oakmark Fund						X																	
10	S Marsico Invt Growth Fund						X																	

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income												
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Type of Income						Amount of Income				
		None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified		
Example:	S, DC, or J																							
	IBM Corp. (stock)						X															Example		
	(S) Keystone Fund							X														Example		
1	S Metro West FDS Low Duration																							
2	S Virtus Opportunities Tr.																							
3	S PIMCO Total Return Fund																							
4	S PIMCO FD PAC Inv't Mgmt Ser. High Yld																							
5	S Rydex Ser. Fds Sector Rotation CL H																							
6	S Vanguard Fixed Income Intermed. Term Treas.																							
7	S LPL Cash, Money Market funds (IRA)		X																					
8	S Central Fund of Canada Ltd. CL A CEF (IRA)		X																					
9	S Ishares Tr. Cohen & Steers Realty (IRA)		X																					
10	S Ishares Tr. Dow Jones US Energy Index (IRA)		X																					

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

		Check the first column.												Type of Income										Amount of Income											
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified	
Example: S, DC, or J		IBM Corp. (stock)													X								Example		X										Example
		(S) Keystone Fund																	X				Example	X											Example
1	S	SPDR Series DJ Large Cap Growth (IRA)		X														X					X												
2	S	Alliance Bernstein Intl. Value Fund (IRA)	X															X					X												
3	S	American Beacon Large Cap Value Fund (IRA)	X															X						X											
4	S	American High Inc. Tr. CL F (IRA)		X														X						X											
5	S	Artisan Small Cap Fund (IRA)	X											X																					
6	S	Berwyn Fund Inc. (IRA)	X															X					X												
7	S	Fundamental Invs. Inc (IRA)		X														X						X											
8	S	Harbor Capital Apprec. Fund (IRA)		X														X					X												
9	S	Morgan Stanley Instl. Investment Grade Fixed Inc. (IRA)	X															X						X											
10	S	Oppenheimer Dvlp Mkrts Fnds CL A (IRA)	X																				X												

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income																						
		At the close of reporting period. If None, or less than \$1,001, Check the first column.										Type of Income						Amount of Income																
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
Example:	S, DC, or J																						Example											Example
	(S) IBM Corp. (stock)				X										X							Example	X										Example	
	(S) Keystone Fund					X												X				Example	X										Example	
1	S Rydex Ser. Fds. Sector Rotation CL H (IRA)		X											X																				
2	S Vanguard Fixed Inc. Secs. Short Term (IRA)		X															X							X									
3	S LPL Insured Cash Account							X									X					X												
4	S Alexandria VA Series 2006A B/E					X											X								X									
5	Arlington Cnty VA Public Improvement B/E					X											X							X										
6	S Capital Region Airport Series FSA B/E					X											X							X										
7	S Chesapeake VA Ref PI CPN					X											X								X									
8	S Chesapeake VA Rfdg Water & Sewer B/E CPN					X											X								X									
9	S Fairfax Cty VA Econ Dev Rev Rte 28 PJ					X											X								X									
10	S Fairfax Cty VA Water Auth Rev Rfdg 4%					X											X								X									

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income																						
		At the close of reporting period. If None, or less than \$1,001, Check the first column.										Type of Income						Amount of Income																
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
Example:	S; IBM Corp. (stock)				X									X							Example		X									Example		
	or J (S) Keystone Fund				X													X			Example	X										Example		
1	S Fairfax Cty VA Water Auth Rev Rfdg 5%				X											X									X									
2	S Hanover Cty VA RFDG Series				X											X									X									
3	S Henrico Cty VA Public Improvement OID				X											X									X									
4	S James City Cty VA Econ Dvlpmnt				X											X									X									
5	S Loudon Cty VA IDA Lse Pub Fac Govt Ctr		X													X							X											
6	S Newport News VA Gen Imprt & Wtr				X											X									X									
7	S Richmond VA Met Auth Expwy				X											X										X								
8	S Southampton Cty VA Indl Develop Auth Rev Pub Fac			X												X							X											
9	S Stafford Cty & Staunton VA IDA Mun League				X											X									X									
10	S University VA Rev Rfdg General				X											X									X									

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

			None (or less than \$1,001)											None											None (or less than \$201)											Actual Amount Required if "Other" Specified
			\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000					
S, Example: DC, or J			IBM Corp. (stock)											X											Example											Example
			(S) Keystone Fund																						Example											Example
1	S	Virginia College Bldg VA Edl Facs				X																														
2	S	Virginia Comwlth Transn Brd Fed Hwy Reimb (due 10/11)				X																														
3	S	Virginia Comwlth Transn Brd Fed Hwy Reimb Antic Note (due 10/14)		X																																
4	S	Virginia St Peninsula Regl Jail Authority				X																														
5	S	Virginia St Publ Bldg Ath Publ Facs				X																														
6	S	Virginia St Publ Sch Auth Sch Fing (8/25)				X																														
7	S	Virginia St Pub Sch Auth Sch Fing 1997 Res (8/22)				X																														
8	S	Virginia St Res Auth Clean Water				X																														
9	S	Virginia St Ref B/E CPN 5% (due 6/15)				X																														
10	S	Virginia St Res Auth Infrast. Rev 4.5%				X																														

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income												
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Type of Income						Amount of Income				
		None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified		
Example:	S, DC, or J	IBM Corp. (stock)				X						X										Example		
		(S) Keystone Fund				X						X										Example		
1	S	Virginia St Res Auth Infrast Rev Ser 5%				X								X										
2	S	Virginia St Rfdg Series A OID				X								X										
3	S	ING American Funds Growth-Income Port (annuity)							X		X													
4	S	ING American Funds Growth Port (annuity)							X		X													
5	S	ING FMR SM Diversified Mid Cap (annuity)				X					X													
6	S	ING Templeton Global Growth Port (annuity)				X					X													
7																								
8																								
9																								
10																								

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

## Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS Part B of Instructions) for the production of income or investment in a non-public trade or business which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

S, JP Computer, Software Design,  
Example: DC, Wash DC  
or J Undeveloped land, Dubuque, Iowa

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
			X								
				X							

## BLOCK C

## Type and Amount of Income

Type of Income									Amount of Income											
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
	X							Example		X										Example
X								Example	X											Example

1 J Vacation Property, Hopetown, Abaco, Bahamas

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EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

## Transaction Type (x)

Transaction Date  
(Mo., Day, Yr.)

## Amount of Transaction (x)

Identification of Assets		Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Example: S; DC, or J	IBM Corp. (stock) NYSE	X			2/1/0X		X			E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/0X			X	E	X	A	M	P	L	E	
1	J Genentech		X		4/24/09	X										
2	S ConocoPhillips	X	X		5/11/09			X								
3	S Janus Adviser Ser Long-Short FD CL C		X		12/16/09			X								
4	S Ivy Ltd.-term BD FD CL C		X		12/16/09			X								
5	S Ivy Asset Strategy Fund Class C	X			12/16/09			X								
6	S PIMCO All Asset All Auth FD CL C	X			12/16, 12/30/09			X								
7	S Central Fund of Canada Ltd. CL A CEF	X			8/24, 11/20/09		X									
8	S Ishares S&P N. American Nat. Res. Index	X			8/24/09			X								
9	S Ishares Dow Jones Select		X		2/24, 8/24/09			X								
10	S Ishares S&P Sm. Cap 600 Growth Index		X		8/24/09			X								
11	S Ishares Tr. Russell 1000 Value Index		X		5/21, 8/24/09			X								
12	S Ishares Tr. Russell 1000 Growth Index		X		8/24/09			X								

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

## Transaction Type (x)

Transaction Date  
(Mo., Day, Yr.)

## Amount of Transaction (x)

Identification of Assets		Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Example: S, DC, or J	IBM Corp. (stock) NYSE	X			2 / 1 / 0X		X			E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC		X		1 / 27 / 0X				X	E	X	A	M	P	L	E
1	S <input type="checkbox"/> Ishares Tr. Dow Jones US Energy Index	X			5/21/09			X								
2	S <input type="checkbox"/> SPDR Series Tr. DJ Small Cap Growth <input type="checkbox"/>		X		8/24/09		X									
3	S <input type="checkbox"/> SPDR Series Tr. DJ Large Cap Growth	X	X		8/24, 11/20//08				X							
4	S <input type="checkbox"/> Vanguard Specialized Portfolios Div. Appreciation	X			8/24/09			X								
5	S <input type="checkbox"/> Wisdomtree Trust Total Div. Fund <input type="checkbox"/>	X			2/24/09				X							
6	S <input type="checkbox"/> American High Inc.Tr. CL F	X			2/24, 5/22/09				X							
7	S <input type="checkbox"/> Blackrock Funds Energy and Resources <input type="checkbox"/>	X			8/24/09			X								
8	S <input type="checkbox"/> Buffalo Small Cap FD INC	X			8/25/09		X									
9	S <input type="checkbox"/> Capital World Growth and Income CL F <input type="checkbox"/>	X			5/22/09		X									
10	S <input type="checkbox"/> Hancock John Cap Ser. Classic Value CL A		X		8/25/09		X									
11	S <input type="checkbox"/> Harbor Cap Appreciation Fund	X	X		5/21, 8/24/09		X									
12	S <input type="checkbox"/> Hartford Fortis Ser. Fund Inc. Growth CL A <input type="checkbox"/>		X		5/21, 11/20/09		X									

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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